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PATENT APPLICATION
Docket No: 15436.250.20.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|----------------------|---|---|----------|
| In re application of | |) | |
| | Deng, et al. |) | |
| Serial No.: | 10/691,466 |) | |
| Filed: | October 22, 2003 |) | Art Unit |
| Confirmation No.: | 5948 |) | 2872 |
| For: | DIFFRACTIVE OPTICS ASSEMBLY IN AN OPTICAL SIGNAL MULTIPLEXER/DEMULTIPLEXER |) | |

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Mail Stop: AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

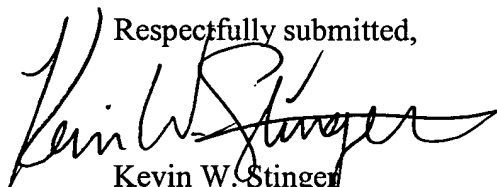
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the required references or relevant portion thereof is also enclosed.

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 11th day of August, 2004

Respectfully submitted,

Kevin W. Stinger
Attorney for Applicants
Registration No. 48,959
Customer No. 022913
Telephone No. (801) 533-9800

KWS/lrc
LC0000001044V001



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CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Mail Stop: AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 18 day of August, 2004:

- Transmittal for Information Disclosure Statement (3 pgs.) (in duplicate)
- Information Disclosure Statement (2 pgs.)
- Form PTO-1449 (2 pgs.)
- Copies of 5 references
- Postcard

Respectfully submitted,

Linda Clark, Assistant to
Kevin W. Stinger
Attorney for Applicants
Registration No. 48,959
Customer No. 022913
Telephone No. (801) 533-9800

RICK D. NYDEGGER
BRENT P. LORIMER
THOMAS R. VUKSINICK
LARRY R. LAYCOCK
JONATHAN W. RICHARDS
DAVID R. WRIGHT
JOHN C. STRINGHAM
JOHN M. GUYNN
CHARLES L. ROBERTS
DANA L. TANGREN
ERIC L. MASCHOFF
CHARLES J. VEVERKA
ROBYN L. PHILLIPS
RICHARD C. GILMORE *
STERLING A. BRENNAN
R. BURNS ISRAELSEN
DAVID R. TODD
GREGORY M. TAYLOR
DAVID B. DELLENBACH
L. DAVID GRIFFIN
ADRIAN J. LEE
FRASER D. ROY
CARL T. REED



R. PARRISH FREEMAN, JR.
PETER F. MALEN, JR.
L. REX SEARS, PH.D.
WILLIAM R. RICHTER
ERIC M. KAMERATH
ROBERT E. AYCOCK
JENS C. JENKINS
KEVIN W. STINGER
WILLIAM J. ATHAY
MICHAEL B. DODD
RYAN D. BENSON
SARA D. JONES
TIGE KELLER
JANNA L. JENSEN
MATTHEW D. TODD
J. LAVAR OLDHAM
MICHAEL J. FRODSHAM
JOSEPH L. KRUPA
BRETT A. HANSEN
BRETT I. JOHNSON
MATTHEW A. BARLOW
WESLEY C. ROSANDER
ANDREW S. HANSEN
CHAD E. NYDEGGER
JOSEPH G. PIA
CLINTON E. DUKE
DAVID J. LORENZ †
RYAN N. FARR *
JAMES B. BELSHE



WORKMAN | NYDEGGER

INTELLECTUAL PROPERTY ATTORNEYS

1000 EAGLE GATE TOWER
60 EAST SOUTH TEMPLE
SALT LAKE CITY, UTAH 84111
TELEPHONE: (801) 533-9800
FAX: (801) 328-1707
WEBSITE: HTTP://WWW.WNLAW.COM

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TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Mail Stop: AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

- ____ Statement of relevance of selected cited references not in the English language which are not translated.
- ____ Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.
- ____ Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

* Admitted only in California
† Admitted only in New York

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- ☒ Form PTO-1449 listing 13 references submitted for consideration.
- ☒ Copies of the 5 “other documents” reference listed on the Form PTO-1449.
- ☐ English translations as indicated on the Form PTO-1449 of the references which are not in the English language.
- ☐ Copies of the following documents from the prosecution of a previous, related application:
 - ☐ Form PTO-1449 AND INFORMATION DISCLOSURE STATEMENT; and
 - ☐ Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I. ☒ Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. ☐ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
 - ☐ Promptness Certification; or
 - ☐ Credit Card Form PTO 2038 in the amount of \$180.00 constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. ☐ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
 - ☐ Promptness Certificate;
 - ☐ Petition for Consideration; and

____ Check No. in the amount of \$ _____ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

IV. ____ After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

____ Petition to Withdraw from Issue; and

____ Check No. _____ in the amount of \$ _____ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

X Any fee required in relation to filing of this letter or any documents transmitted therewith.

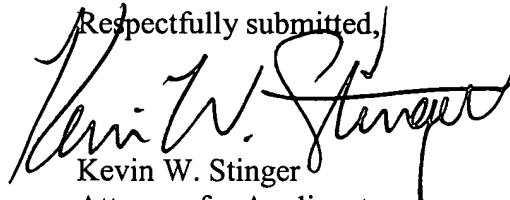
____ The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

____ The submission fee set forth in 37 C.F.R. § 1.17(p).

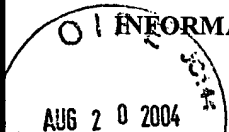
____ The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 11th day of August, 2004.

Respectfully submitted,



Kevin W. Stinger
Attorney for Applicants
Registration No. 48,959
Customer No. 022913
Telephone No. (801) 533-9800

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| <div style="text-align: center;">  <p>INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)</p> </div> | Docket Number (Optional) 15436.250.20.1 | Application Number 10/691,466 |
| | Applicant(s) Deng, et al. | |
| | Filing Date October 22, 2003 | Group Art Unit 2872 |

| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|-----|-----------------|--------|-------------------|-------|----------|-------------------------------|
| EXAMINER INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| | 1 | 5,026,131 | 6/1991 | Jannson, et al. | 350 | 3.7 | |
| | 2 | 5,044,706 | 9/1991 | Chen | 359 | 357 | |
| | 3 | 5,482,801 | 1/1996 | Smith, et al. | 430 | 5 | |
| | 4 | 5,793,912 | 8/1998 | Boord, et al. | 385 | 37 | |
| | 5 | 5,881,199 | 3/1999 | Li | 385 | 140 | |
| | 6 | 5,905,571 | 5/1999 | Butler, et al. | 356 | 328 | |
| | 7 | 6,011,885 | 1/2000 | Dempewolf, et al. | 358 | 34 | |
| | 8 | 6,069,990 | 5/2000 | Okawa, et al. | 385 | 43 | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|-----------------|------|---------|-------|----------|-------------|----|--|
| REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | | |
| | | | | | | YES | NO | |
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| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | |
|--|--|--|
| 1 | | Spectrogon, <i>Holographic Diffraction Gratings</i> , 7th Edition, January 2003 (30 pages). |
| 2 | | Samuel C. Barden, et al., <i>Volume-phase Holographic Gratings and their Potential for Astronomical Applications</i> , available on information and belief at least as early as September 10, 2003 (11 pages). |

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|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

| | | | | | |
|---|--|--|--|---|--|
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| | | Applicant(s) Deng, et al. | | | |
| | | Filing Date October 22, 2003 | | Group Art Unit 2872 | |
| *EXAMINER INITIAL | | OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i> | | | |
| 3 | | Kaiser Optical Systems, Inc., <i>Holoplex TM Holographic Transmission Grating</i> -- Raman Products Technical Note -- Number 1201, Copyright 2001 (2 pages). | | | |
| 4 | | Kaiser Optical Systems, Inc., <i>Axial Transmissive Spectrograph</i> -- Raman Products Technical Note -- Number 1200, Copyright 2001 (2 pages). | | | |
| 5 | | M. Collischon, et al., <i>Apodized Littrow-grating for a 9.7 um CO2-laser</i> , printed May 1, 2001 (4 pages). | | | |
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| *EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | | | | | |